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ABSTRACT

The two modules in this packet provide information on planning for workplace success. The first module, "Planning MAS-107," contains seven units that cover introduction to planning, developing plans, setting goals, budgeting resources, scheduling, monitoring implementation, and how to make planning work. The module also includes a list of 18 references, a practice test, and answers to the practice test. The second module, "Planning PRO-105," contains six units that cover introduction to the planning process, developing plans, daily planning, setting goals, scheduling, and tracking progress. The module also includes a summary, a list of 16 references, a practice test with answers, and appendixes that showcase examples of plans: strategic; long-term; short-term; action; and daily. The units in each module consist of enabling objectives, information, and activities. (KC)

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ED 389 856

Department of Energy/Carlsbad Area Office Technology Transfer Program

PLAN FOR SUCCESS

Two-Module Technology Transfer Package

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Waste Isolation Division (WID)
Management and Supervisor Training (MAST) Program

PLANNING

MAS-107

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A. MODULE INTRODUCTION

Terminal Objective

Upon completion of this module, trainees will be able to develop effective plans.

Mastery of the terminal objective will be demonstrated by scoring 80 percent or higher on the module examination.

Planning is an important tool for managers and supervisors because it:

- helps make the best use of our scarcest resource--time

  How much uninterrupted time do you have on an average workday? One hour? Less than an hour? Your time is scarce. Planning helps you use your time wisely.

- helps us focus on important activities

  Without planning, resources are often directed toward low value activities. Through planning, organizational resources can be directed toward important work.

- enables us to affect our future

  Planning helps organizations and people change the present and influence the future.

- is the basis for organizing

  Plans establish what work needs to get done by when. So plans can help to mold an organization that fits the work it's expected to accomplish.

- is the basis for controlling

  Goals and schedules set during planning can help you control work in progress.

- guides delegation

  Before you can delegate, you have to know what needs to be done. Plans provide this information so you can delegate work effectively.

- can have a positive effect on job performance

  People generally perform best when they have challenging but attainable goals to meet. So plans, if subdivided into work group and employee goals, can motivate highly effective job performance.

- helps minimize confusion

  Plans define what needs to happen by when. This minimizes confusion about priorities and work activities.

- differentiates effective from ineffective managers

  One researcher compared 30 effective managers and 30 ineffective managers. The effective managers scored significantly higher in planning. The ineffective managers spent less time planning and rated organizing and controlling significantly higher in importance than the effective managers.

As you can see, planning is an important management function. In the next section of the module, we'll talk about how to develop plans.

B. DEVELOPING PLANS

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good practices for developing plans.
2. Identify practices to avoid when developing plans.
3. Given a scenario, evaluate the manager's effectiveness in developing plans.

Types of Plans

Strategic plans

The time period of **strategic plans** is generally five years or more. They're usually prepared by senior managers.

Long-range plans

The time period of **long-range plans** is generally more than one year but less than five years. Long-range planning occurs at all levels of management.

Short-range plans

The time period of **short-range plans** is generally one year or less. They tend to be specific, telling exactly what needs to be done by when. For example, a plan for completing a self-assessment six months from now would be a short-range plan. Short-range planning occurs at all levels of management.

Action plans

An **action plan** is a plan that guides specific actions by individuals. For example, if you plan to conduct a self-assessment, part of your action plan might be to finish the first draft two weeks from today. This type of planning occurs at all levels of an organization--from the executive to the first-line employee.

The Planning Sequence

Here are steps you can follow to develop a plan from start to finish.

Select goals

The purpose of planning is to help accomplish goals. To identify goals for which you'll need plans, ask yourself:

- What are the division's goals?

  Through planning, you can help the division reach its goals.

- What are my department's goals?

  Incorporate department goals into your planning. By doing so, you support your boss and help make your department effective.

- What are the goals of my section or group?

  Planning will help you meet or surpass the expectations of your boss and the Department of Energy (DOE).

- What are my goals?

  Planning will help you reach your goals.

Visualize the attainment of your goals

By visualizing, we mean picturing your desired end result in your mind. When you reach your goals:

- What will the end result look like?
- What will the effects be?
- What will people say and do as a result?

Having a mental picture of your desired end result makes planning easier.

Compare where you are now with where you want to be

Compare your present situation with your desired end result. What are the differences? Identify things you'll need to change to reach your goals.

Determine your approach

From a big picture perspective, how will you accomplish your goals? What approach do you want to take? What do you want to avoid? Referring to the mental picture you formed earlier can help you determine your approach.

Prepare plans

First, identify tasks that need to be completed to reach your goals. Seek input from others. This will help identify all relevant tasks.

Then identify when each task must be completed. For complex plans, a graphic schedule can help keep things on track. The Program Review and Reporting Section can help you develop schedules.

Here are some topics you may need to include in your plans:

- Goals
- Budget
- Deadlines
- Priorities
- Constraints
- Tasks and subtasks
- Required resources
- Implementation process
- Interfaces with other tasks
- Logic ties between subtasks

Identify needed resources

Before implementing a plan, it's necessary to make realistic estimates of required resources. **Resources** include things like employees, materials, supplies, equipment, time, and people who can help you. You can't expect to carry out your plan successfully without adequate resources. Without timely access to resources, delays will occur. In this case, the delays need to be planned and their impact on other tasks or plans must be assessed.

To identify needed resources, follow this process:

- Look for a project from the past that's similar to your project

  If there was a similar project, find out the resources required to complete it.

- Make a list of all resources required to implement your project

  Seek input from others to make sure you don't miss anything.

- Identify when each resource will be needed and the different ways it can be acquired

  If a resource can't be acquired, look for acceptable substitutes. If equipment you don't already have is required, don't overlook the possibility of borrowing it. For information on borrowing equipment, see MAS-117, *Material Control*.

- Be realistic about your resources

  For instance, if three different tasks need to be accomplished on a computer and only one computer is available, either find additional computers to use or allow extra time to complete that phase of the project.

Figure out how much it will cost

How much will implementing your plan and achieving your goal cost? Your cost analyst can help you develop a realistic budget.

Consider factors that could affect your plans

Before implementing your plans, consider factors that could affect them such as:

- the budget
- DOE priorities
- regulatory requirements
- the knowledge, skills, and abilities of your employees
- plans, priorities, and requirements of interfacing organizations

Identifying and considering the potential effect of these factors will help you make better plans.

Make contingency plans

A **contingency** is an event that may or may not happen. Planning for contingencies helps you either prevent them from occurring or deal with them effectively if they do occur.

Here's how you can plan for contingencies:

- Think like a pessimist

  Try to think of everything that could go wrong. This will help you identify potential problems you need to plan for.

- Categorize potential problems according to the impact they would have (high, medium, and low)

- For high-impact potential problems with a reasonable chance of occurring, identify:

  - preventive actions

    Preventive actions reduce the probability that a potential problem will occur by blocking or eliminating its causes. Ask "What will decrease the probability of the problem occurring?"

  - contingent actions

    Contingent actions minimize the impact of a problem. Ask "What would minimize the impact of this problem?"

  You may also want to identify preventive and contingent actions for medium-impact potential problems that are likely to occur.

Prepare to implement your plan

Before you implement your plan:

- assess its completeness and accuracy
- review it with your boss
- consider using project management techniques such as scheduling to help you implement your plan

Implement your plan and revise as necessary

Few projects proceed exactly as planned. Be responsive to changing conditions and, if necessary, revise your plan to keep it up-to-date.

Good Practices

- Make long-range plans

  Research has shown that supervisors of groups with better production records engaged in long-range planning and anticipated future problems more often. Their peers with less impressive production records focused on day-to-day operations.

  Preparing long-range plans forces you to think about the future. Here are some questions that will help you adopt the mindset you'll need for long-range planning:

  - What will your organization be doing several years from now?
  - What types of knowledge, skills, and abilities will your employees need?
  - What trends does your organization need to respond to?
  - What will the division need from you and your organization several years from now?

  Some supervisory and managerial positions don't require much long-range planning. If you want to improve your long-range planning skills, ask your boss for help. For additional suggestions on how to improve your long-range planning skills, check with the Manager, Organizational Development.

- Adopt the proper mindset for planning

  When making plans, be a pessimist. When implementing plans, be an optimist.

- Whenever possible, involve your employees in planning

  This is a good practice because:

  - they can help you develop better plans
  - it helps get their buy-in to the plans
  - it can be a developmental experience for them

- Identify other organizations affected by, or involved in, your plans

  Involve appropriate persons from these organizations early in the planning process. This will save time and prevent conflicts later on.

- Set aside "quiet time" at least once a week for reviewing and updating your plans

- Incorporate division goals and your boss's goals into your plans

  This helps ensure you and your employees support your boss and the general manager.

- Incorporate the WID vision into your plans

  The WID vision is as follows:

  > WID will set the standard of excellence for the safe, environmentally sound disposal of TRU waste.

  It defines what the division aspires to. Ask yourself, "What can I do to make the WID vision a reality?"

- Gain support for your plans

  It'll be easier to implement your plans if you build support for them. Determine the support you'll need from other organizations. Then figure out how to get the support.

- Seek assignments requiring planning

  This will help you improve your planning skills.

- Learn from skilled planners

  Review their plans. What did they include in their plans?

- Ask your boss to give you feedback when your planning could be more effective

- After you develop plans, ask others to identify potential problems

  Have a peer play devil's advocate and confront you with everything that could possibly go wrong. Then make contingency plans.

- Make individuals, not groups, accountable for plans

  Plans are more likely to be made and carried out when individuals, rather than groups, are accountable.

- Plan for your absences

  When you know you'll be absent, here are some things you can do so the work doesn't stop while you're gone:

  - Communicate your scheduled absences to everyone who needs to know
  - Delegate tasks as necessary to ensure the work flow will continue without interruption or delay
  - Tell your employees about resources and sources of help they can rely on
  - Give your employees a heads-up about issues or questions that may arise

- Share your plans with other organizations who might have an interest in them

  It's better to overcommunicate your plans than it is to undercommunicate them.

- Build people into your plans

  Plans are implemented by people. So when you plan, think about participation, communication and delegation. Participation promotes ownership. Communication helps ensure plans are understood. Delegation gives people a chance to use their creativity in carrying out plans.

- Get buy-in from your manager and those who will be affected by your plans

  Don't make your plans in a vacuum.

Practices to Avoid

- Letting planning become a paper exercise

  Regarding planning as a low-value activity will cause it to be of low value. The main value of plans is the thinking that goes into them. If you put sufficient thought and effort into your plans, they'll help you reach your goals. Use planning as an opportunity to discuss the future, weigh alternatives, and develop useful plans.

- Underestimating the importance of planning

  According to management expert Louis Allen:

  > Managers rarely fall short of their real potential for lack of technical competence. Of all the managerial failures I have seen, there most often appears one real cause: a failure to plan logically and consistently so that the limited resources that are available are directed to the opportunities that really matter.

- Failing to plan because you "don't have time"

  The less time you have to spare, the more important it is to plan. Not planning because you're too busy may save you a couple of hours a week. But this time savings will be more than offset. The lack of planning will cause you to work on low-priority items that could have waited.

- Neglecting long-range plans because of day-to-day "fire fighting"

  Don't let your long-range plans gather dust. Review, update, and implement your long-range plans at least once a year.

- Underestimating resistance to plan implementation

  Many people prefer business as usual. Plan for resistance you're likely to encounter when you implement plans.

CRITICAL INCIDENT
INEFFECTIVE BEHAVIOR

Occurrence: The DOE asked WID to perform a project. The project was assigned to a manager. The manager plunged in without a plan and without getting buy-in from other organizations. Halfway through the project, the manager solicited necessary input from the DOE and other WID organizations. They agreed that the project was headed down the wrong path. The project was assigned to another WID organization.

Impact: Completion of the project was delayed unnecessarily. Unnecessary costs were incurred.

Lesson learned: Failure to plan and to get buy-in for plans can harm the division and cause you problems.

CRITICAL INCIDENT
EFFECTIVE BEHAVIOR

Occurrence: The organization that "picked up the ball" to complete the project mentioned in the previous incident quickly assembled a plan to meet the project deadline. Management and non-management personnel as well as representatives from other WID organizations were involved in the planning. Plan milestones were closely monitored during this high-speed project.

Impacts: 1) The organization completed the project by the deadline. 2) The DOE commended the project and its results.

Lesson learned: Planning is a key to successfully completing projects with tight deadlines.

C. SETTING GOALS

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good practices for setting goals.
2. Identify practices to avoid when setting goals.
3. Given a scenario, evaluate the manager's effectiveness in setting goals.

Goals and **objectives** are ends toward which effort is directed. Both terms, "goals" and "objectives," are used at WID. For example, WID departments set Quality Improvement Plan *goals*. WID departments also strive to meet or exceed performance *objectives* set by the DOE.

In the interest of simplicity, we've chosen to use the term "goals" in this section. But the information presented here applies to both goals and objectives.

Goals are important to WID because they:

- guide the efforts of individuals and organizations

  WID is composed of many teams, sections, and departments. It's essential that the general manager keep these organizations moving in a common direction. One way the general manager does this is through goals.

- can motivate us to work efficiently and effectively

  Goals can create a more results-oriented, purposeful organizational climate. Most of us are highly motivated to meet our goals. It provides a sense of accomplishment when goals are achieved.

- are the basis for evaluating performance

  Objectives set through the Performance Management System and the Performance Evaluation Plan are goals. These types of goals are a fairly objective basis from which to evaluate performance. Evaluators can determine if goals were achieved, partially achieved, or not achieved.

- help prevent us from being diverted by things that aren't the best use of our time

  All of us are bombarded with activities and people vying for our attention. Goals help keep us on track by focusing our attention on worthwhile endeavors.

The Criteria of Good Goals

To be useful in planning, goals need to:

- be significant

  Goals should challenge us to perform better. Insignificant or impossible-to-miss goals trivialize the goal-setting process. This makes it more difficult to achieve results in the future because people don't perceive goals as important.

- be reasonable

  Our goals need to take resource limitations and competing priorities into account. Employee perceptions should also be taken into account. Those responsible for meeting a goal should perceive it as reasonable. If not, they won't exert much effort to reach the goal.

- be clear and specific

  The desired outcome of a goal should be understandable. Unclear goals create confusion and conflict.

- be measurable

  Goals should be measurable in quantitative or qualitative terms. If a goal isn't measurable, no one will know whether or not it's been achieved.

- specify a completion date

  Completion dates are important because a goal with no time limit has little or no value.

- be logically consistent with each other

  Inconsistent goals pull the organization in different directions. Goals that are logically consistent with one another help the organization function smoothly.

- be reevaluated frequently

  Priorities at the WIPP often change. Reevaluate goals frequently. Ensure they're still significant and reasonable. Reevaluating goals also helps keep them fresh in our minds.

Good Practices

- Start goal statements with an action verb

  It's standard practice at WID to begin goal statements with action verbs such as "complete," "develop," "conduct," "write," etc. This makes goal statements easy to read and understand.

- Develop objective measures of success that will tell you when you've reached a goal

- Ensure your group's goals and your own are based on department and division goals

  If they aren't, revise your goals so they will support the goals of your department and the division.

- Rank your goals in priority order

  The top priority goals should be those that will have the greatest impact on WID's performance. Focus most of your resources on these top priority goals.

- Identify whose help you'll need to reach your goals

  Whose support--and what type of support--will you need? Talk to these people. Determine the degree to which they are willing and able to help you.

- Communicate your goals

  Communicate your goals to your:

  - boss

    Once your boss knows where you're headed, he or she can provide support.

  - employees

    Employees can also provide support in reaching your goals. This is especially true if they set Performance Management System objectives based on your goals.

- DOE counterpart

  It may be beneficial to communicate some of your goals to your DOE counterpart. Your counterpart needs to know what you and your organization are doing to support the WIPP mission. Your counterpart will be able to help you achieve some of your goals.

- peers

  As the Management Assessment of Organizational Communication revealed, WID supervisors and managers are very willing to provide help if asked.

- Attain goal acceptance and commitment from necessary others

  Achieving many goals requires getting acceptance and commitment from others. You can get this by:

  - involving the people from whom you'll need acceptance and commitment in goal-setting

  - communicating the importance of achieving goals

- Assign responsibility for goals

  The greater an employee's responsibility for attaining a goal, the stronger his or her commitment to the goal.

- Give people feedback as they pursue their goals

  Let people know whether or not their goal-directed actions are on target.

- Use goals to increase productivity

  Productivity can be significantly increased by setting specific goals and giving employees attention and support.

- Review progress toward goals regularly

  Meet with your employees one-on-one and discuss progress, problems, and solutions. These discussions keep your employees on track and show them you're interested in their progress.

- Congratulate employees when they reach goals

  Express your appreciation. This makes goal attainment a rewarding experience for your employees. It also encourages them to continue their goal-directed behavior.

Practices to Avoid

- Allowing goals to generate counterproductive behavior

  Goals may cause people to:

  - behave competitively
  - act as if their goal is more important than anything else

  If you see counterproductive behavior, recalibrate as necessary.

- Criticizing employees for failing to attain goals

  This has a demotivating effect. Instead of criticizing, lower goals to an attainable level after failure. Then gradually raise them until employees are achieving up to their potential.

D. BUDGETING RESOURCES

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good practices for budgeting resources.
2. Identify practices to avoid when budgeting resources.
3. Given a scenario, evaluate the manager's effectiveness in budgeting resources.

Resources need to be budgeted and used wisely because they're limited. Problems can result if resources are spread too thin. What causes resources to become spread too thin? One cause is managers who respond to too many requests for help at the same time. When managers do this, the help they give isn't adequate. The people they've agreed to help end up being displeased. So it's necessary to occasionally say "no" to requests for help. Sometimes it's possible to give the help at a later date or refer requesters to someone else who can help.

The Pareto Principle can help you decide where to invest your resources. Vilfredo Pareto, an Italian economist and sociologist, discovered the 20%-80% principle. According to Pareto, 20% of the effort produces 80% of the results. For example, Pareto would contend that 20% of your activities generate 80% of your value to the division. These are called "the critical few."

The Pareto Principle isn't always applicable. And the figures 20% and 80% aren't intended to be precise. Nevertheless, the Pareto Principle is a rule of thumb you can use. Make a list of work activities that soak up your resources. Put a "C" for "critical few" next to activities that are of high value to the division. Try to limit the number of activities labeled "C" to no more than 20% of the total. Put an "R" for "routine many" next to the rest of the activities.

Now look at your list. Are you allocating most of your resources to the critical few activities? If not, take action to correct the imbalance.

Rules of Thumb for Allocating Resources

Have you ever used a rule of thumb? Rules of thumb can be used to allocate resources according to priority rules. Some of the more common priority rules are:

- Shortest task first

  Tasks are ordered in terms of their duration, with the shortest first. In general, this rule will maximize the number of tasks completed by a system during some time period.

- Most resources first

  Tasks are ordered by use of a specific resource, with the largest user heading the list. The assumption behind this rule is that more important tasks usually place a higher demand on scarce resources.

- Minimum slack first

  Slack is the difference between the latest possible starting time and earliest starting time for a task. Under the minimum slack first rule, tasks are ordered by the amount of slack, least slack going first.

- First come, first served

  Tasks are processed in the order that they arrive.

Research has shown that the minimum slack rule is the best or near-best quite often and rarely causes poor performance. It usually results in the minimum amount of schedule slippage, the best utilization of facilities, and the minimum total time requirement.

Good Practices

- Allocate resources to the highest value projects

  There are never enough resources for every potential project, so it's important to allocate resources according to priorities. Thinking about the impact and urgency of projects can help you make good resource allocation decisions. Ask yourself:

  - "What will the impact of this project be?"

  - "What's the urgency of this project?"

High impact, urgent projects should be top priority.

- Use the Pareto Principle

  Identify the critical few activities and concentrate the largest share of your resources on them. This will help you get greater returns from your resources.

- When new activities present themselves, ask yourself, "Will this help my organization meet its goals?"

  If the answer is "no," consider not doing or delegating the activities.

Practices to Avoid

- Indiscriminantly using the shortest task first priority rule

  Sometimes it's important to start on the most urgent or least slack tasks first.

- Indiscriminantly using a first come, first served approach for completing tasks

  The impact and urgency of tasks should be considered.

- Committing someone else's resources

  This is a violation of responsibility and authority protocol. It also tends to damage working relationships because people resent it when someone else makes commitments for them.

E. SCHEDULING

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good scheduling practices.
2. Identify scheduling practices to avoid.
3. Given a scenario, evaluate the manager's effectiveness in scheduling.

A **schedule** is a plan indicating the time and sequence of each activity to meet a goal or complete a project. Schedules are used to track progress, control, and manage programs and projects. They range from high level, such as the WIPP Disposal Decision Plan, to detailed, such as the Plan of the Week Schedule. Other examples of schedules used at the WIPP include Work Authorization Directive schedules, the Integrated Site Readiness Schedule, and the DOE Monitored Milestone Schedule.

Integrated program schedules are used at the WIPP to show logic ties and interfaces between WIPP organizations. They contain "big ticket" activities that are critical to the WIPP. Preparing integrated program schedules helps identify potential conflicts between activities so corrective action can be taken.

Schedule Development

It's important to use a graded approach in developing schedules. Determine the level of detail necessary to meet your goal or manage your project. A highly visible goal or project on the critical path usually needs a more detailed schedule than a level-of-effort activity.

Milestones are identified during the planning process. These milestones are then used to develop schedules through a top-down, bottom-up process. Milestones and key activities defined in higher level schedules are used to develop progressively lower level schedules. Any necessary adjustments or corrections identified while developing the lower level schedules are reconciled to support progressively higher level schedules.

Good Scheduling Practices

- When scheduling, lay out your activities in a logical and sequential order

  Identify the order in which activities need to be completed. To do this well, you'll need to thoroughly understand the process or activity you're scheduling.

- Identify constraints affecting your program (and your schedule)

  For example, you may be constrained by required reviews and approvals. Or you may be constrained while you wait for products or services supplied by another organization. Constraints need to be built into your schedule.

- Use schedules as a budgeting tool

  If one of your programs requires more resources, a schedule can help others understand the need. They can see for themselves the amount of progress made and what's left to be done.

- Use an appropriate amount of detail on schedules

  Small programs of moderate importance usually don't need a detailed schedule. Start and completion milestones with summary bar activity schedules will probably suffice. Important programs may need a much more detailed schedule. Guidance on the appropriate level of detail is available from the Program Review and Reporting Section.

- Communicate with schedulers to get what you want

  The schedulers in the Program Review and Reporting Section will provide you with the type of schedule you need if they know what you need. If what they're providing you isn't useful, tell them.

- Keep schedules up-to-date

  Otherwise, they're not useful.

Scheduling Practices to Avoid

- Imposing artificial schedules

  An "artificial schedule" is one that isn't realistic. Artificial schedules come about when someone sets a deadline without investigating whether the deadline is reasonable. Artificial schedules:

  - cause inefficient resource use
  - undermine the morale of persons implementing the schedules

- Padding schedules

  "Padding" is building a significant amount of nonessential time into a schedule. Padding causes projects to be too long and expensive. And this causes programs to be "axed."

- Using schedules as reasons to "beat people up" or engage in finger pointing

  The attitude that works best for the division is "What can we do to get back on schedule?" rather than "Joe is late."

- Assuming that reporting a schedule variance will put you in the "boiling pot"

  Reporting programs that are behind schedule makes it possible for others to help you manage the situation proactively.

- Reporting your schedule status the way you want it to be rather than the way it is

  Report your schedule status the way it is. Inaccurate schedule status reports undermine the credibility and usefulness of WID schedules.

CRITICAL INCIDENTS
EFFECTIVE BEHAVIOR

Occurrence: An integrated schedule was developed for a large-scale WIPP program. Progress was tracked and compared to the schedule weekly. Interfaces were identified up front, allowing departments to plan work to support the program.

Impacts: 1) Constraints were identified and resolved before they impacted the program. 2) When delays arose, the schedule made it possible to quickly assess the impacts and respond appropriately. 3) The schedule helped WID promptly answer customer inquiries about the status of the program. 4) The schedule helped focus management attention on the requirements of the program. 5) The program, which was a critical WIPP milestone, was completed on time.

Lessons learned: 1) Well-planned programs can be effectively managed. 2) Schedules can be excellent communication and control tools.

Occurrence: At the outset of a program, a manager asked the Program Review and Reporting Section for scheduling help. A scheduler was assigned to work on the program. A schedule was developed at an appropriate level of detail. The scheduler attended program meetings to collect status information. This information was then used to keep the schedule up-to-date.

Impacts: 1) The schedule helped the manager stay abreast of the status of his program. 2) When unplanned events happened, the manager was able to immediately assess their impact on the program. 3) The schedule was useful in answering "what if" questions relating to the program. 4) When additional funds were needed for the program, the schedule helped justify the budget request.

Lesson learned: Schedules are a good management tool.

F. MONITORING IMPLEMENTATION

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good practices for monitoring implementation.
2. Identify practices to avoid when monitoring implementation.
3. Given a scenario, evaluate the manager's effectiveness in monitoring implementation.

Once plans are made, implementation begins. Implementation needs to be monitored to:

- ensure the plan is followed
- deal with unexpected occurrences affecting the plan
- be aware if and when the original plan needs to be modified

Monitoring implementation is a control activity. Good practices for controlling are covered in MAS-109, *Controlling*. Here, we'll cover a few additional practices that will help you monitor implementation.

Decide What to Monitor

Once the implementation of your plan has begun, what do you need to monitor? Performance, cost, and time are almost always relevant factors to monitor. But there may also be other relevant factors such as:

- the number of labor hours used
- the level of customer satisfaction
- the number or extent of engineering changes

Review your plans to identify factors that need to be monitored.

Decide How to Collect Data

After deciding what to monitor, you need to decide how to collect data on the things you'll be monitoring. Here are some of the ways you can do this:

- Frequency counts

  A **frequency count** is a tally of the occurrences of an event. This type of measure is often used for complaints, days without an accident, number of times a report is late, and similar items.

- Raw numbers

  Dates, dollars, hours, amounts of resources used, and specifications are usually reported in this way. These numbers are often compared with an expected or standard number. Also, variances are commonly reported as the ratios of actual to standard.

- Subjective numeric ratings

  These are subjective estimates made by knowledgeable persons. The eye of an experienced employee can be an accurate subjective measure.

- Indicators

  When it's not possible to measure performance directly, it may be possible to find an indirect measure or indicator. For example, the amount of time required to process work packages may be a good indicator of team efficiency.

- Verbal measures

  Measures for things like quality of team member cooperation, morale of team members, or quality of interfaces with the customer frequently take the form of verbal characterizations. For instance, morale could be characterized as "high," "mediocre," or "low."

Ideally, a monitoring system should provide data that will help you prevent problems. For example, an unfavorable trend in data can alert you to a potential problem. Then you can take proactive action to keep the implementation of your plan on track.

Good Practices

- Establish useful information channels

  For example, a weekly progress meeting can help you monitor how a project is progressing.

- Pay special attention to the critical activities in your plan

  Which activities present the greatest risk to the success of your plan? Failing to monitor these activities can be the ruination of your plan. To help identify what's critical, look for activities that:

  - have tight deadlines
  - seem most likely to fail
  - are complex and difficult
  - require something new and unfamiliar
  - have gaps or overlaps in responsibility
  - have great impact on cost or several other steps

- Increase accountability through documentation

  This is especially useful for multi-organization projects. Keep an active list of open items. **Open items** are tasks or issues that are unresolved or incomplete. The list should include a statement describing the item, the lead (the person responsible for the item), and the commitment date. This greatly increases the odds that the commitment date will be met.

- Don't settle for ambiguous communication

  If someone gives you ambiguous information about the status of plan implementation, seek clarification.

- Monitor by walking around

  Spend time face-to-face with the people who are implementing your plans.

- Learn how to use your calendar or a tickler file as a monitoring tool

  Schedule appropriate times to follow up on various project activities. A calendar or tickler file can remind you when it's time.

- Adjust your plans when necessary

  If conditions change, your plans may need to, also.

- Focus monitoring activities on data that's important and valuable

  It's important to dig for the data you need to effectively monitor the implementation of your plans.

Practices to Avoid

- Assuming that, just because you haven't heard otherwise, plan implementation is going smoothly

  This can get you "burned." Get up from your desk and find out how things are going.

- Punishing bearers of bad news

  For your monitoring system to work well, you need to hear both good and bad news. So don't "kill the messenger" who brings bad news.

CRITICAL INCIDENT
INEFFECTIVE BEHAVIOR

Occurrence: A manager made a plan and announced it with much hoopla. By doing so, the manager raised expectations. After the plan was accepted, the manager lost interest in it. Because the manager didn't monitor the implementation of his plan, it was never completed. An audit team later discovered this.

Impact: The audit team raked the manager and his department over the coals.

Lesson learned: Neglecting to monitor the implementation of plans can have nasty consequences.

G. SMART MOVES--WHAT YOU CAN DO NOW

Here are some things you can do now to make your section/department more effective:

- Set aside "quiet time" at least once a week for reviewing and updating your plans (*Page 11*)
- After you develop plans, ask others to identify potential problems (*Page 11*)
- Identify whose help you'll need to reach your goals (*Page 17*)
- Use goals to increase productivity (*Page 18*)
- Review progress toward goals regularly (*Page 18*)
- Congratulate employees when they reach goals (*Page 18*)
- Allocate resources to the highest value projects (*Page 21*)
- Use schedules as a budgeting tool (*Page 24*)
- Pay special attention to the critical activities in your plans (*Page 29*)
- Monitor by walking around (*Page 29*)

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I. PRACTICE TEST

1. A manager said, "When planning for contingencies, it's important to think like an optimist." Was the manager correct? Why?

   a. YES--it helps you identify everything that could go wrong

   b. YES--managers should think optimistically during all phases of the planning process

   c. NO--it's best to think like a pessimist when planning for contingencies

   (B.3)

2. A manager didn't talk to his peers in other WID organizations about his plans until the plans were finalized. Was that a good practice? Why?

   a. YES--research has shown that it's best for managers to complete their plans before they share information about them with others

   b. YES--involving persons from other organizations during the planning process is a waste of time that leads to conflicts later on

   c. NO--by talking to his peers, the manager could have found out about potential problems and gained support for his plans

   (B.1)

3. A manager set Quality Improvement Plan goals that were impossible to miss. Was this a good practice? Why?

   a. YES--impossible to miss goals maximize motivation

   b. YES--impossible to miss goals cause people to perceive goal-setting as an important activity

   c. NO--goals should be set so high that employees will think they can't be attained

   d. NO--impossible to miss goals trivialize the goal-setting process

   (C.3)

4. A manager said, "Productivity can be significantly increased by setting specific goals and giving employees attention and support." Was the manager correct? Why?

   a. YES--setting and using goals is a good way to increase productivity

   b. YES--setting goals is all that's required to increase productivity

   c. NO--setting and using goals usually leads to counterproductive behavior

   d. NO--goal-setting usually leads to decreased performance because employees feel overwhelmed

   (C.3)

5. Which of the following is the best way to identify potential conflicts between activities so corrective action can be taken?

   a. Preparing integrated program schedules

   b. Using the graded approach in developing schedules

   c. Imposing artificial schedules

   d. Padding schedules

   e. Using subjective numeric ratings

   (E.1)

6. A manager said, "When it's not possible to measure performance directly, it may be possible to find an indirect measure or indicator." Was the manager correct? Why?

   a. YES--indirect measures or indicators are the preferred method of collecting data and monitoring implementation at WID

   b. YES--indirect measures or indicators can be an acceptable substitute for direct performance measures

   c. NO--when it's not possible to measure performance directly, data collection must be abandoned

   d. NO--conduct of operations principles prohibit the use of indirect measures or indicators

   (F.3)

7. A manager set up an intricate system of performance indicators to monitor the implementation of her plans. The manager had confidence in her system, so she rarely left her office to monitor implementation of her plans. Was that a good practice? Why?

   a. YES--managers should strive to set up intricate systems like this that will allow them to monitor from a distance

   b. YES--managers should set up intricate systems like this so they won't have to leave their offices

   c. NO--the manager should have spent more time face-to-face with the people who implemented her plans

   d. NO--the manager should have delegated her monitoring activities to an exempt employee who would serve as her eyes and ears

   (F.3)

8. A manager saw a peer making long-range plans. The manager said, "What are you wasting your time for? Long-range planning is the exclusive territory of senior managers." Was the manager correct? Why?

   a. YES--the peer was committing a blunder; only senior managers should make long-range plans

   b. YES--only senior managers have the organizational savvy needed to make good long-range plans

   c. NO--the manager's second statement was incorrect; the manager should have said, "All planning is the exclusive territory of senior managers."

   d. NO--long-range planning is a good practice that occurs at all levels of management

   (B.3)

9. Preventive actions

   a. minimize the impact of a problem.

   b. reduce the probability that a problem will occur.

   c. eliminate the possibility that a problem will occur.

   d. are designed to maximize the benefits of positive occurrences.

   (B.1)

10. A manager advised, "Make an individual, rather than a group, accountable for your plan." Was the manager giving good advice? Why?

a. YES--making an individual accountable provides a scapegoat if the plan isn't implemented effectively

b. YES--plans are more likely to be made and carried out when individuals, rather than groups, are accountable

c. NO--the manager should have advised, "Make a group, rather than an individual, accountable for your plan."

d. NO--making individuals accountable is an outdated management practice that has fallen into disfavor at WID

(B.3)

J. ANSWERS AND FEEDBACK FOR THE PRACTICE TEST

1. c. NO--it's best to think like a pessimist when planning for contingencies

2. c. NO--by talking to his peers, the manager could have found out about potential problems and gained support for his plans

3. d. NO--impossible-to-miss goals trivialize the goal-setting process

4. a. YES--setting and using goals is a good way to increase productivity

5. a. Preparing integrated program schedules

6. b. YES--indirect measures or indicators can be an acceptable substitute for direct performance measures

7. c. NO--the manager should have spent more time face-to-face with the people who implemented her plans

8. d. NO--long-range planning is a good practice that occurs at all levels of management

9. b. reduce the probability that a problem will occur.

10. b. YES--plans are more likely to be made and carried out when individuals, rather than groups, are accountable

If you scored 80 percent or higher on the practice test, you're ready to take the module examination; please proceed to Organizational Development.

If you scored less than 80 percent on the practice test, please re-read the module and take the practice test again. If you still have questions, contact the Team Leader, Professional Development, or the Manager, Organizational Development.

Successful Professional Development Program

Planning

PRO - 105

Waste Isolation Pilot Plant
Waste Isolation Division
Carlsbad, New Mexico

Planning

PRO-105

Successful Professional Development Program

_____ _____
SUPRO Writer Date

Approval

_____ _____
Manager, Date
Organizational Development

Waste Isolation Pilot Plant
Waste Isolation Division
Carlsbad, New Mexico

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A. INTRODUCTION

Terminal Objective

Upon completion of this module, the trainee will be able to develop effective plans.

Mastery of the terminal objective will be demonstrated by scoring 80 percent or higher on the module examination.

Nothing at work may be more rewarding than setting a goal, developing a plan, and achieving all you set out to achieve.

In turn, nothing may be more discouraging than the feeling that you can't achieve and don't know which way you should go next.

Planning is an important tool that can bring motivation, satisfaction, and confidence into our jobs. It can make us feel in control of our projects and a contributor to the success of our team, our department, our division and the Waste Isolation Pilot Plant (WIPP) project.

Historically, planning has been associated with the management function. However, in this era of participative management and employee ownership, non-management employees are increasingly involved in organizational and individual planning.

Think about your job. What would it be like if you didn't perform any planning? How effective would you be? All of us do planning. The purpose of this module is to develop and enhance this important skill.

Planning is important for all of us because it

- helps make the best use of our time.

  How much uninterrupted time do you have on an average workday? One hour? Less than an hour? Your time is valuable. Planning helps you use your time wisely.

- helps us focus on important activities.

  Without planning, we can end up working on the wrong project. This can lead to producing a product that isn't

needed that day and neglecting to get done what was needed. By planning with your manager, the right thing will get done at the right time.

- enables us to affect our future.

  Good planning builds our confidence in how well we approach a project. It can demonstrate to your manager and co-workers that you see the "big picture" and can set plans that will help achieve group goals.

- is the basis for organizing.

  Plans establish what work needs to get done by when. So plans will organize your group into an efficient and effective team.

- can have a positive effect on job performance.

  Employees generally perform best when they feel they are part of a plan and have a piece of the achievement that comes at the completion of the plan. It's motivating to see you are a part of a project plan and, in turn, can plan your part to your best advantage.

- helps minimize confusion.

  Plans define what needs to happen by when. This minimizes confusion about priorities and work activities.

As you can see, planning is an important part of achievement. Planning places the decision-making process up front where it belongs -- deciding what, when, how, and who. Once the plan is formed, we can devote most of our energies and time to implementing the plan and producing the achievement.

Planning helps us keep control of our time. You might consider reading How To Get Control of Your Time and Your Life by Alan Lakein. This book is a clearly written guide to time management. The techniques in this book can be used by everyone, both professionally and personally.

In the next section of the module, we'll talk about how to develop plans.

B. DEVELOPING PLANS

Enabling Objective

Upon completion of this section, the trainee will be able to:

1. Identify the time periods of a strategic plan, long-range plan, short-range plan and action plan.

2. List the steps necessary to develop a good plan.

With few exceptions, strategic and long-range plans require the support of more detailed, short-range plans to achieve planning goals. Examples of each type of plan can be found in the Appendix of this module, which begins on page 40.

TYPES of Plans

Strategic plans

The time period of **strategic plans** is generally five years or more. They're usually prepared by senior managers, with the assistance of other members of the organization.

A strategic plan sets the "big picture" goals -- answers the question "Where do we want to be in January 199X?" Other types of plans support the strategic plan by answering the question "How do we get there?"

Long-range plans

The time period of **long-range plans** is generally more than one year but less than five years. Long-range planning occurs at all levels of an organization. Managers usually are responsible for long-range organizational plans, but all employees can be involved with personal long-range planning, such as career development. Some employees develop a long-range career plan, which might include obtaining a college degree or completing training courses.

Short-range plans

The time period of **short-range plans** is generally one year or less. They tend to be specific, telling exactly what needs to be done by when.

For example, a plan for completing a self-assessment six months from now would be a short-range plan. Short-range planning should be a part of all employees' work scope.

If your long-range plan is to obtain a college degree, a short-range plan that supports that goal might be completing a specific course to expand job knowledge and earn credit hours toward that degree.

Short-range plans are usually a part of your work goals and should be reflected on a Performance Management System form for exempt employees, or a Performance Appraisal System form for non-exempt employees.

Another short-range plan is the Quality Improvement Plan (QIP), which outlines the Waste Isolation Division (WID) goals for a six-month period. The QIP supports our division's long-range and strategic plans by identifying actions necessary to satisfy our customer, the DOE.

Daily plans

Many effective employees keep daily planners that list the things to do on a given day. Daily plans are good for scheduling time, ensuring commitments are met, and tracking performance.

Daily plans help you manage your time and do the things that need to be done.

Time is an unusual commodity -- it can't be saved for when you need it the most. If you are out of wood, you can chop some more. If you're out of money, you can earn extra. When you're out of time, there's no replacing it. And it doesn't play favorites. No matter what position you hold or how much money you make, you still only have 60 minutes in each hour.

In order to use time in the best possible way, we must pricritize our tasks. List all the things you MUST do, estimate how much time you need to set aside for each task, and log them on your daily plan. Then list things you would LIKE to accomplish. After you determine how much time they will take, work them into the "must do's." Be sure to leave time for the things that come up unexpectedly.

A daily calendar usually has room to enter appointments and meetings and provides space for your daily list of tasks. Be sure to mark off tasks when you complete them. The daily calendar then becomes a record of your performance. Check back at the end of each day to see what items were not completed and ask yourself why. Move incomplete items to the next day's daily plan or reschedule them in consideration of your deadlines.

Examples of Daily Plans

Management July 26	Non-Management July 26
• Develop agenda for staff meeting • Call and conduct staff meeting • Review draft of annual report • Conduct Ann's performance evaluation • Meet with Mr. Smith, small conference room, 2:00 pm	• Prepare for performance evaluation • Attend staff meeting, 1:00 pm, lg. conf. room • Incorporate comments from Safety in news release • Draft agenda for meeting of annual report team • Performance evaluation at 10:30am, manager's office

Daily plans may have informal mini-plans to support them. Be careful about how much detail you put into your plans -- not enough or too little can be unproductive. The amount of detail depends on the type of project or action and how you as an individual deal with details.

Action plans

An **action plan** is a plan that guides specific actions by individuals. For example, when the WIPP site hosted a Community Day, a group of employees developed an action plan to set up and staff an environmental display. One employee worked on gathering the exhibit materials; another planned to set up the display; another committed to staffing the exhibit.

This type of planning occurs at all levels of an organization--from the executive level to the first-line employee.

Many WIPP employees from all levels of management and non-management and from various departments attend the plan-of-the-day meeting, which presents an action work plan for the WIPP site and is sponsored by the Operations department.

The Planning Sequence

Here are steps you can follow to develop a plan from start to finish.

Select goals

The purpose of planning is to help accomplish goals. To identify goals for which you'll need plans, ask yourself:

- What are the division's goals?

  This ensures your goals are compatible with and supportive of division goals.

- What are my department's goals?

  Consider department goals when you plan. By doing so, you support your boss and help make your department more effective.

- What are the goals of my section or group?

  Planning will help you and your group meet or surpass the expectations of your boss and the Department of Energy (DOE).

- What are my goals?

  Planning will help you reach your individual goals. Be sure your goals are specific enough to keep you on track and yet not so detailed that they become a step of the plan.

Example

Goal Statement
Develop a WIPP fact sheet on the WIPP TRU Waste Transportation System by June 14,1993.

Picture the product of your planning

Imagine the results of your plan. When you reach your goals, what will

- the product, or end result, look like?
- the effects be?
- people say and do as a result?
  - How will your customers (internal and external) feel about your product?

Having a mental picture of your product makes planning easier.

Example

Product description

A fact sheet that

- is appropriate for use at public meetings, on public tours, and at WIPP exhibits
- clearly explains to the general public how WIPP proposes to bring nuclear waste to the site
- is easy to read, has an appealing layout, contains accurate information, and is error-free
- has been through a documented review and approval process
- lists names and addresses as contacts for further information
- is dated to identify the timeliness of and need for revisions
- is ready for distribution by June 14, 1993

Determine your approach

What approach do you want to take? What do you want to avoid? Will talking face-to-face be needed, or will a telephone call serve the purpose? Referring to the mental picture you formed earlier can help you determine your approach.

Example

Approach
CALL the Transportation Safety section and request any reports on the WIPP transportation system.
CALL Mr. Jones for the WIPP emergency response training materials.
MEET with Engineering to choose an appropriate drawing of the inside of a TRUPACT-II shipping container.

Prepare plans

First, identify tasks that need to be completed to reach your goals. Be sure you understand how your plan supports the goals of a larger plan. If you aren't sure, talk with your manager about how your plan fits in with the "big-picture" goals.

Once you understand the big picture, talk with your teammates and other employees involved with other pieces of the project. This will help identify all the things that must be done to support the big-picture goals.

Timing is crucial. Identify when each task must be completed. Check with you manager and others involved to be sure you are on the right time track. Other employees' plans could be dependent on your schedule.

Here are some topics you should consider in your plans:

- Goals
- Budget
- Deadlines
- Priorities
- Constraints

Topics you should consider in your plans, continued...

- Tasks and subtasks
- Required resources
- Implementation process
- Interfaces with other tasks

Example

Considerations
• Cost of printing; who will pay?
• Deadline for receiving background materials
• Block of time needed to draft text
• Time for reviews
• Turnaround time for drawing request
• Turnaround time for printing

Identify needed resources

Before implementing a plan, it's necessary to make realistic estimates of required resources. **Resources** include things like materials, supplies, equipment, time, and people who can help you. You can't expect to carry out your plan successfully without adequate resources. And those resources must be available when you need them or you won't be able to implement your plan in a timely manner. Without timely access to resources, delays are likely occur. In this case, the delays need to be planned and their impact on other tasks or plans must be considered.

To identify needed resources, follow this process:

- Look for a project from the past that's similar to your project

  If there was a similar project, find out the resources required to complete it. For example, when Public

Information Programs personnel planned the second Community Day, they referred to the plan of the first Community Day to develop a new and better plan. They also easily identified materials and services needed, which were similar to those used first time around.

- Make a list of all resources required to implement your project

  Seek input from others to make sure you don't miss anything. The more you know, the better your base of knowledge will be. Planning will be more effective and thorough.

- Identify when each resource will be needed and the different ways it can be acquired

  If a resource can't be acquired, look for acceptable substitutes. If equipment you don't already have is required, don't overlook the possibility of borrowing it. Talk to your manager about borrowing equipment.

  Borrowing equipment from WID or other DOE sites is a good practice for meeting short-term needs. It's usually less expensive and quicker than buying new equipment. You can borrow equipment for up to 12 months. Contact Material Control and Property, a section of the Controller's department, for more information.

- Be realistic about your resources

  For instance, if you need a special type of software and only three employees on site have that type, check with those employees to be sure you have access when you need it. Access to resources could impact your plan's schedule. It's better to figure in the extra time when you plan than to risk disappointing your manager and others with a missed deadline.

Example

Resources
Engineering - drawings of TRUPACT-II
Presentations Support - drawing of New Mexico showing transportation routes and desktop publishing services
Transportation Support - reports on the WIPP transportation system
Emergency response technician - procedure for emergency response
Publications & Procedures (P&P) - to get the fact sheets printed

Figure out how much it will cost

How much will implementing your plan and achieving your goal cost? Work with your manager to be sure your costs are reasonable.

Example

Costs
Printing costs will be $1,500 for 10,000 copies on green paper, according to the Government Printing Office quote on similar projects.
No other direct costs have been identified.

Consider factors that could affect your plans

Before implementing your plans, consider factors that could affect them such as:

- the budget
- DOE priorities
- regulatory requirements

- your knowledge, skills, and abilities and those of your co-workers
- plans, priorities, and requirements of other departments

Identifying and considering the potential effect of these factors will help you make better plans.

Make contingency plans

A **contingency** is an event that may or may not happen. Planning for contingencies helps you either prevent them from occurring or deal with them effectively if they do occur.

Here's how you plan for contingencies:

- Try to think of everything that could go wrong. This will help you identify potential problems you need to plan for.
- Consider the impact that problems would have on your plan.
  - Look for ways to prevent the problem from occurring.
  - List actions that would reduce the impact, should the problem arise.

Example

Influencing factors	Contingency plan
• Three presentations are being developed on deadline for DOE, which could delay layout services in P&P for several days	• Check with Training to see if its staff can assist with layout if time runs short
• Recent TRUPACT-II audit findings, as reported in the newspaper, could prompt a sensitivity review by legal counsel - extra two days for this review	• Incorporate an extra two days' review time -- shorten turnaround on routine reviews

Prepare to implement your plan

Before you implement your plan

- look it over for completeness and accuracy.
- review it with your manager, supervisor, or team leader.

Implement your plan and revise as necessary

Few projects proceed exactly as planned. Be responsive to changing conditions and, if necessary, revise your plan to keep it up to date.

Good practices for long-range planning

Preparing long-range plans forces you to think about the future. What types of knowledge, skills, and abilities will you need to help WID continue to be successful? Do you want to expand your work scope?

For help in career planning, refer to PRO-102, "Human Resource Excellence." This self-paced module helps you set career goals and expand your educational horizons. Also, you can speak with your manager or supervisor for guidance, or contact Employee Relations.

Be sure to check your long-range plans periodically. Goals can change over time. Make sure your plan still is appropriate to meeting your goals and the goals of others, such as your department and the division.

Parts of your career plan may become obsolete as resources change and you gain job experience. Also, reviewing your long-range plans helps keep your goals fresh in your mind.

Good practices for short-range and action planning

Some tips for successful planning include the following:

- Gain support for your plans

  It'll be easier to implement your plans if you build support for them. Determine the support you'll need

from other organizations. Then figure out how to get the support. Your manager or supervisor can help.

- Learn from skilled planners and successful plans

  Review plans developed by skilled planners. What do they include?

- Ask your manager or supervisor for feedback as to how your plans could be more effective

- After you develop plans, ask others to identify potential problems

  Have a co-worker play devil's advocate and confront you with everything that could possibly go wrong. Then make contingency plans.

- Plan for your absences

  When you know you'll be absent, let your manager or supervisor know what impact, if any, your absence will have on your plan. Then your manager has the option of delegating tasks as necessary to ensure tasks continue without delay.

- Share your plans with other organizations who might have an interest in them

  It's better to over-communicate your plans than it is to under-communicate them.

- Get buy-in from your manager and those who will be affected by your plans

  Don't make your plans in a vacuum. Communicate with those involved.

The value of good planning

- Reaching the right goals

  The main value of plans is the thinking that goes into them. If you put sufficient thought and effort into your plans, they'll help you reach the right goals. Use planning as an opportunity to discuss the future, weigh alternatives, and develop useful plans.

- Using time and resources wisely

  The less time you have to spare, the more important it is to plan. Not planning because you're too busy may save you a couple of hours a week. But this time savings will be more than offset. The lack of planning could cause you to work on low-priority items that could have waited or to miss small but important details.

C. DAILY PLANNING

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify good practices for day-to-day planning.
2. Identify practices to avoid in daily planning.
3. Identify tools that are useful in daily planning.

Every employee should make daily planning a routine part of their work day. Many people know a daily plan as a "to do" list. The secret to getting things done each day is not just making the to-do list, but making it every day, keeping it visible, and referring to it often throughout the day.

At WIPP, we have several types of supplies to support our list-making:

- Spiral notebooks

  Spiral notebooks keep lists in one place. You can refer to yesterday's list to see what wasn't done yesterday and move it up to today's list. With a notebook, get in the habit of opening it first thing every morning and writing today's date on a new page. You'll end up with a record of what you wanted to do, did do, and must still do. There's plenty of room for notes, too.

- The "Things To Do Today" pad

  This form-type pad organizes space for listing 12 items. Today's date goes on top. It has a "Finished" column -- a box next to each item. It's a good feeling to check off the boxes as you complete the items. Used forms can also be kept in a file if you have a need to look at them another day.

- White boards and chalk boards

  Erasable boards are useful when you want others to have access to your daily to-do list. This method doesn't

leave a paper trail so be sure that you won't need your list another day.

- Computer

  You can use your computer to generate daily lists. Computer-generated lists are saved easily and don't take up room in the filing cabinet. Also, lists can be updated neatly and easily on your computer.

  Some software management programs, such as PC Tools and Windows, have a daily notebook as a feature. Other word processing programs offer a split screen feature; you can keep your daily list visible in one area of your screen while working in another area.

  Check your software manuals or ask the Computer Information Desk at extension 8156 to find out what's available to you.

- Calendars and appointment books

  A variety of calendars and appointment books are available. Check with your secretary for different styles. Some appointment books have a page dedicated to each day and offer enough room for a daily to-do list.

- Pads, plain paper

  A plain piece of paper kept in full sight or pinned to a bulletin board will work for some employees. It's what goes on the paper and how you use the list that counts.

What goes on the list?

Should you write down everything you have to do, including routine activities? Should you include things you might do? Different people use daily plans in different ways.

Here are some suggestions to consider.

- Avoid listing routine things unless a routine item needs special attention.

- Be sure to include "hot" items -- things that must be done today.

- Set priorities.

  Compare the value of items on your list with each other and try using the ABC priority system: mark "hot" items or items of high value with an "A"; use a "B" for items with medium value; a "C" for those with low value.

  Keep in mind priorities may change so check your list often. Today's "C" may become tomorrow's "A," and vise versa.

  Some employees complete a high percentage of items on their daily list but are not as efficient as the employees who complete fewer items but items higher in priority.

- Consider placing a long- or short-term goal on your daily list.

  If an activity that supports a long- or short-term goal must be done that day, placing it on your to-do list will remind you why that item is there. The reminder will help motivate you into action.

  "Learn French" may be a long-term goal, but seeing it on your to-do list every Tuesday may prompt you to use a French expression or vocabulary word several times that day.

  "Complete Political Science course" is a short-term goal. By placing it on your daily plan, you may choose to do an assignment during lunch or after dinner.

- Ask "What items can I not do?"

  Some "C" items turn into options, rather than to-do's. For example, you have "Update the photo file" on your list as a "C." After questioning the item, you realize you checked it last month and nothing has changed. You can cross the item off the list without doing anything at all!

  If you have any doubts about crossing a "C" off the list, check with your manager first.

D. SETTING GOALS

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify reasons why setting goals is important.
2. Identify characteristics of a good goal.
3. List good practices for setting and writing goals.

Goals and **objectives** are ends toward which effort is directed. Both terms, "goals" and "objectives," are used at WID. For example, WID departments set Quality Improvement Plan goals. WID departments also strive to meet or exceed performance objectives set by the DOE.

In the interest of simplicity, we've chosen to use the term "goals" in this section. But the information presented here applies to both goals and objectives.

Goals are important to WID because they:

- guide the efforts of individuals and organizations

  WID is composed of many teams, sections, and departments. It's essential that the general manager keep these organizations moving in a common direction. One way the general manager does this is through goals.

- can motivate us to work efficiently and effectively

  Goals can create a more results-oriented, purposeful organizational climate. Most of us are highly motivated to meet our goals. It provides a sense of accomplishment when goals are achieved.

- are the basis for evaluating performance

  Objectives set through the performance appraisal and the Performance Evaluation Plan are goals. These types of goals are a fairly objective basis from which to evaluate performance. Evaluators can determine if goals were achieved, partially achieved, or not achieved.

- help keep us focused so we make the best use of our time

  All of us have various activities that need our attention. Goals help keep us on track by focusing our attention on worthwhile endeavors and recognizing our priorities.

What is a good goal?

To be useful in planning, goals need to:

- be significant

  Goals should challenge us to perform better. Insignificant or impossible-to-miss goals dilute the importance of the goal-setting process. This makes it more difficult to achieve results in the future because people don't perceive goals as important.

- be reasonable

  Our goals need to consider what we truly can and cannot do in a specific time frame. Without the expectation of achievement, we lose motivation.

- be clear and specific

  The desired outcome of a goal should be understandable. Unclear goals create confusion and conflict.

- be measurable

  Goals should be able to be measured, whether by the quality, quantity, or timeliness of the results. If a goal can't be measured, no one will know whether or not it's been achieved.

- specify a completion date

  Completion dates are important because a goal with no time limit has little or no value. Setting a date is making a commitment -- it motivates us to keep working toward our goals.

- be supportive of others' goals

  Goals can pull any organization in different directions if they aren't compatible with each other. Goals that support each other help the organization move ahead.

- be reevaluated frequently

  Priorities at the WIPP often change. Reevaluate goals frequently. Ensure they're still significant and reasonable. Reevaluating goals also helps keep them fresh in our minds.

Good Practices

- Start goal statements with an action verb

  It's standard practice at WID to begin goal statements with action verbs such as "complete," "develop," "conduct," "write," etc. This makes goal statements easy to read and understand.

Examples

A well-written goal	A poorly written goal
Develop a WIPP fact sheet on the WIPP TRU Waste Transportation System by the end of the month.	Gather information on WIPP transportation.

- Develop a way to measure your success

  You need a clear indicator that tells you when you've reached a goal.

- Ensure your goals are based on your group, department and division goals

  If they aren't, revise your goals so they will support others' goals.

- Rank your goals in priority order

  The top priority goals should be those that will have the greatest impact on WID's performance. Focus most of your efforts on these top priority goals.

- Identify whose help you'll need to reach your goals

  Whose support--and what type of support--will you need? Talk to your manager or supervisor to determine the degree to which others can help you.

- Communicate your goals

  Communicate your goals to your:

  - boss. Once your boss knows where you're headed, he or she can provide support.

  - co-workers. This avoids overlapping efforts of similar goals and encourages sharing of information.

    For example, you are gathering facts for the WIPP transportation fact sheet. Your co-worker is planning to update the transportation part of a WIPP exhibit. Sharing this information saves your work group time and creates a better team relationship.

    Your manager or supervisor can provide guidance in reaching your goals. This is especially true if you develop performance appraisal objectives based on your goals.

- Attain goal acceptance and commitment from others who are involved

  Achieving certain goals requires getting acceptance and commitment from others. You can get this by:

  - involving the people from whom you'll need acceptance and commitment in goal-setting

  - communicating the importance of achieving goals

  - reviewing progress toward goals regularly

    Meet with your manager or supervisor one-on-one and discuss progress, problems, and solutions. These discussions keep you on track. These meetings can be, but don't have to be, daily or weekly. They can be prompted by specific steps in your plan.

  - thanking employees who supported you when you reach your goals

    Express your appreciation. This makes goal attainment a rewarding experience for you and your co-workers. It also encourages them to support your future efforts and firms up the feeling of working as a team.

E. SCHEDULING

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Define a schedule and its use.
2. Identify techniques to develop a schedule.
3. Identify good scheduling practices.
4. Identify scheduling practices to avoid.

A **schedule** is a plan indicating the time and sequence of each activity to meet a goal or complete a project. Schedules are used to track progress toward reaching goals. Some schedules address broad range goals and are set by high management levels, such as the WIPP Disposal Decision Plan, which was established by the Secretary of Energy.

Others are specific and detailed, such as the Plan of the Day schedule. Other examples of schedules used at the WIPP include Work Authorization Directive schedules, the Integrated Site Readiness Schedule, and the DOE Monitored Milestone Schedule.

Integrated program schedules are used at the WIPP to show logic ties and interfaces between WIPP organizations. They contain "big ticket" activities that are critical to the WIPP. Preparing integrated program schedules helps identify potential conflicts between activities so corrective action can be taken.

Some schedules are designed to show how many plans work together and support each other. An example of this kind of schedule is located in the Appendix C of this module, page 43.

All schedules must be carefully coordinated so one doesn't contradict another. For example, if a power outage is scheduled, that would be the wrong time to schedule a test of the ventilation fans.

Schedule Development

It's important to use a graded approach in developing schedules. Determine the level of detail necessary to meet your goal or manage your project. A highly visible goal or project on the critical path usually needs a more detailed schedule than a level-of-effort activity.

Milestones are identified during the planning process. These milestones are then used to develop schedules through a top-down, bottom-up process. Milestones and key activities defined in higher level schedules are used to develop progressively lower level schedules. Any necessary adjustments or corrections identified while developing the lower level schedules are reconciled to support progressively higher level schedules.

On an individual basis, keep in mind that your schedule must support your manager's schedules as well as any co-workers' schedules that are dependent on your success.

An example of schedule dependency

An employee is drafting a news release about an event that will take place Monday. A photograph will be needed to send with the release on Tuesday. Another employee is scheduled to take the photo at the event on Monday but the print will not be available until Wednesday. If these two employees don't coordinate their schedules, deadlines will be missed and a commitment broken.

Good Scheduling Practices

- When scheduling, lay out your activities in a logical and sequential order

  Identify the order in which activities need to be completed. To do this well, you'll need to thoroughly understand the process or activity you're scheduling.

- Identify all activities that could affect your plan (and your schedule)

  For example, you may be slowed down by required reviews and approvals. Or you may have to wait for products or services supplied by another organization. These types of constraints need to be considered when developing realistic schedules.

An example of scheduling constraints

The schedule of events for the Secretary of Energy's visit had to consider the following constraints:

- the plane might arrive late
- the plane might leave early
- time may be needed for business calls
- extra time may be required to answer questions
- name tags might have to be changed if last-minute staff substitutions are made
- certain support personnel may be absent, such as an underground escort

- Keep schedules up-to-date
- Otherwise, they're not useful.

Scheduling Practices to Avoid

- Padding schedules

"Padding" is building a significant amount of nonessential time into a schedule. Padding causes projects to be too long and expensive. And this causes programs to be "axed."

Adding too much extra time just so you can deliver your product ahead of schedule will hinder support from other employees and hurt teamwork. Also, it's safe to assume your manager sees through your motive.

- Assuming that telling your manager about a slipping schedule will put you in the "boiling pot"

If you are slipping behind schedule, tell your manager, supervisor, or team leader. Letting them know could get you

the help you need to catch up. Timely communication of a scheduling problem offers the opportunity to manage the plan, modify the schedule, and still achieve goals on time.

Being honest and up-front about a scheduling problem builds trust between you and your supervisor. He or she has confidence in you that you will always recognize and communicate potential stumbling blocks to everyone's success.

F. TRACKING PROGRESS

Enabling Objectives

Upon completion of this section, the trainee will be able to:

1. Identify reasons why tracking is important.
2. List the items to keep when tracking a project.
3. Identify good review practices.

Once plans are made, they must be carried out. Implementation is the follow-through of a good plan and is necessary to achieve success. Tracking your progress in implementing a plan will

- ensure the plan is followed.
- help deal with unexpected occurrences affecting the plan.
- alert you to signs if and when the original plan needs to be modified.

Keeping track

All government contracts are supported by the American taxpayer. Therefore, unlike a private contractor, a government contractor must be totally accountable for costs, time, and materials.

Keeping track of your plan involves keeping track of what you do, how you do it, and documenting your progress. Written notes on the progress of your plan may prove very helpful to your manager if he or she is required to report on a project that your plan supports.

Also, your records may help you or someone else prepare a future plan. The better quality your records, the more useful they will be to you and others on future projects.

Here are the type of notes that may be useful when tracking the implementation of your plan:

- Write down the time you dedicate to the plan's activities.

  You could use a daily calendar to track the hours you work on one particular activity or another. Or you might staple a tracking sheet inside a project folder and make an entry each day.

- Write down any modifications to the plan.

  Any deviations from your plan should be documented as changes occur. Be sure you note why the change was necessary and what impact it has toward the success of the plan. Advise your manager of the impact.

- Keep your research and working papers together.

  If someone sends you raw data that you use, keep the data in a working file. You should mark on the data who provided it and when. With this information, you can update the data if too much time passes before it's used.

- Jot down important phone conversations.

  If you use background information that was given over the phone, make a note that tells who provided the information and when.

- Track all reviews.

  This is most important. As you implement your plan, be sure you keep records of others' comments, which comments you used, which you did not, **and why**.

  If you don't *have* to use a reviewer's comments and you choose not to, be ready to justify your decision or, better yet, talk it over with the reviewer so you both agree with the final wording or approach.

If you must send material out for review, and you don't need to use an official WIPP review form, make a copy of the material and mark when and to whom the material was sent. Be sure to tell reviewers by what date you need their comments, flag that date for follow-up, and make note of when you get comments returned. This kind of tracking will help you and your manager identify potential scheduling changes.

Detailed tracking also establishes a list of everyone who helped implement your plan and what contribution they made.

- Review your plan frequently to identify factors that need to be monitored.

Good practices for implementing a plan

- Keep communication lines open -- with your manager or supervisor and with anyone involved in supporting your plan.

- Pay special attention to the critical activities in your plan

  Which activities present the greatest risk to the success of your plan? Failing to keep a watch on these activities can be the downfall your plan. To help identify what's critical, look for activities that

  - have tight deadlines
  - seem most likely to fail
  - are complex and difficult
  - require something new and unfamiliar
  - have gaps or overlaps in responsibility
  - have great impact on others' plans and projects

- Be accountable for your plan

  This is especially useful when you need other departments or organizations to help you implement your plan.

  Keep an active list of open items. Open items are tasks or issues that are unresolved or incomplete. The list should include a statement describing the item, the lead (the person responsible for the item), and the commitment date. This greatly increases the odds that the commitment date will be met.

- Learn how to use your calendar or a tickler file as a monitoring tool

  Schedule appropriate times to follow up on various project activities. A calendar or tickler file can remind you when it's time.

- Adjust your plans when necessary

  If conditions change, your plans may need to, also.

Practices to Avoid

- Assuming that, just because you haven't heard otherwise, everyone is doing his or her part and everything's on schedule.

  This can get you "burned." Get up from your desk or pick up the phone and find out how things are going.

- Fix problems and adjust schedules when needed.

  If an employee from another department tells you that his part of the plan won't be done as scheduled, don't "shoot the messenger." If you get upset at bad news, people will be less likely to tell you what you need to know if it isn't a success story. You need to hear both good and bad news, so encourage participants to keep you informed of their progress in your plan.

G. SUMMARY

Here are some things you can do now to make your performance and your plans more effective:

- Set aside time each day for reviewing and updating your plans.
- After you develop plans, ask others to identify potential problems.
- Identify whose help you'll need to reach your goals.
- Set goals that motivate yourself and others.
- Review your progress toward goals regularly with your manager or supervisor.
- Thank co-workers when they help you reach your goals.
- Pay special attention to the critical activities in your plans.

H. MODULE REFERENCES

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I. PRACTICE TEST

1. An employee requested of a co-worker, "Please tell me everything you think could go wrong with my plan." Was this a good planning practice?

   a. YES--employees should consider the impact that problems could have on a plan

   b. NO--this wastes others' time and confuses the planning process

   c. NO--it's best to only think positive when developing a plan

   (B.2)

2. An employee didn't talk to other employees about his goals until they were finalized. Was that a good practice? Why?

   a. YES--research has shown that it's best for employees to complete their plans before they share information about them with others

   b. YES--involving others during the planning process is a waste of time that leads to conflicts later on

   c. NO--by talking to co-workers, the employee involves the people from whom he needs acceptance and commitment

   (C.3)

3. An employee drafted Quality Improvement Plan goals that were impossible to miss. Was this a good practice? Why?

   a. YES--impossible-to-miss goals maximize motivation

   b. YES--impossible-to-miss goals cause people to perceive goal-setting as an important activity

   c. No--goals should be set so high that employees will think they can't be attained

   d. No--impossible-to-miss goals dilute the importance of the goal-setting process

   (C.3)

4. Good goals are

   a. general and broad-reaching.

   b. independent of all others' goals.

   c. clear and specific.

   d. set in stone, once finalized.

   (C.3)

5. Coordinating schedules is important because

   a. hard feelings can develop between schedulers and planners.

   b. one schedule mustn't contradict another.

   c. schedules must be approved by the general manager.

   d. you cannot change your schedule once it is part of the final plan.

   (E.1)

6. Tracking your progress while implementing a plan will

   a. identify employees who are uncooperative.

   b. let you delegate certain tasks.

   c. slow down progress and cause unnecessary paper generation.

   d. ensure the plan is followed.

   (F.1)

7. Which of the following activities present the greatest risk to the success of a plan?

   a. Those with tight deadlines

   b. Those which have been done numerous times before

   c. Those which require no support from other departments

   (F.3)

8. An employee was making long-range career plans. Another employee said, "What are you wasting your time for? Long-range planning is the exclusive territory of senior managers." Was this statement correct? Why?

   a. YES--the employee was committing a blunder; only senior managers make long-range plans

   b. YES--only senior managers have the organizational savvy needed to make good long-range plans

   c. NO--the employee's second statement was incorrect; the employee should have said, "All planning is the exclusive territory of senior managers."

   d. NO--long-range career planning is a good practice for everyone

   (B.3)

9. Which of the following is an example of a good goal?

   a. Be involved in a Process Improvement Program suggestion.

   b. Reduce the number of office supplies I use by five percent.

   c. Conduct one safety meeting on using seat belts by December 1.

   (B.1)

10. A manager advised, "You should consider placing long-term goals on your daily list." Was the manager giving good advice? Why?

   a. YES--that's the only place appropriate for long-term goals

   b. YES--your daily list can remind you of certain goals and motivate you into action

   c. NO--daily lists are for action plan goals only

   d. NO--daily lists should be reserved for appointments only

   (B.3)

J. ANSWERS AND FEEDBACK FOR THE PRACTICE TEST

1. a. YES--employees should consider the impact that problems could have on a plan

2. c. NO--by talking to co-workers, the employee involves the people he needs acceptance and commitment from

3. d. No--impossible-to-miss goals dilute the importance of the goal-setting process

4. c. clear and specific.

5. b. one schedule mustn't contradict another.

6. d. ensure the plan is followed.

7. a. Those with tight deadlines

8. d. NO--long-range career planning is a good practice for everyone

9. c. Conduct one safety meeting on using seat belts by December 1.

10. b. YES--your daily list can remind you of certain goals and motivate you into action

If you scored 80 percent or higher on the practice test, you're ready to take the module examination; please proceed to Organizational Development.

If you scored less than 80 percent on the practice test, please re-read the module and take the practice test again. If you still have questions, contact the SUPRO training coordinator, or the Manager, Organizational Development.

K. APPENDIX

Examination questions are not based on any information in the appendix of this module. The material in this section is for your information only.

Included in this appendix are samples of different types of plans -- strategic, long-term, short-term, action, and daily.

If you need assistance in developing or implementing a plan, contact Organizational Development.

APPENDIX A

Strategic Plan

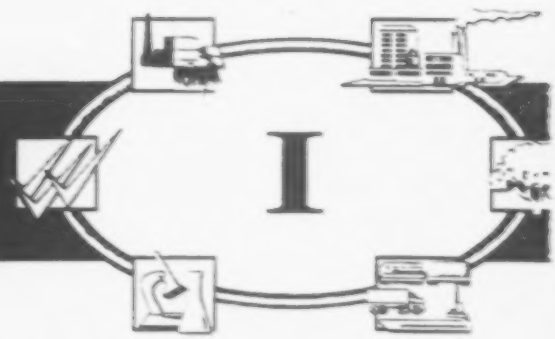
The Environmental Restoration and Waste Management Five Year Plan is a strategic plan developed by DOE Headquarters with participation from the Waste Isolation Division, the DOE Albuquerque Operations office, the DOE WIPP Project Site Office and the DOE WIPP Project Integration Office.

This plan, in the form of a chart, shows activities that the DOE wants completed over the next 30 years. The document that supports this plan, called the Five Year Plan, is issued every year and spans a five-year window of time. The Five Year Plan offers details of how this strategic plan will be implemented.

U.S. Department of Energy

Environmental Restoration and Waste Management Five-Year Plan

Fiscal Years 1994-1998



Volume I

For sale by the Superintendent of Documents, U.S. Government Printing Office
Washington, D.C. 20402

January 19

The National Planning Chart reflects the 30-year goals of cleaning up inactive waste sites. It also reflects EM plans to have comprehensive treatment, storage, and disposal facilities in operation for all its waste streams by 2019. The chart illustrates that waste management activities will continue beyond 2019, as will postclosure monitoring of remediated sites in compliance with the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and deactivation and disposition of surplus facilities transferred to EM in accordance with schedules established at the time of facility transfer.

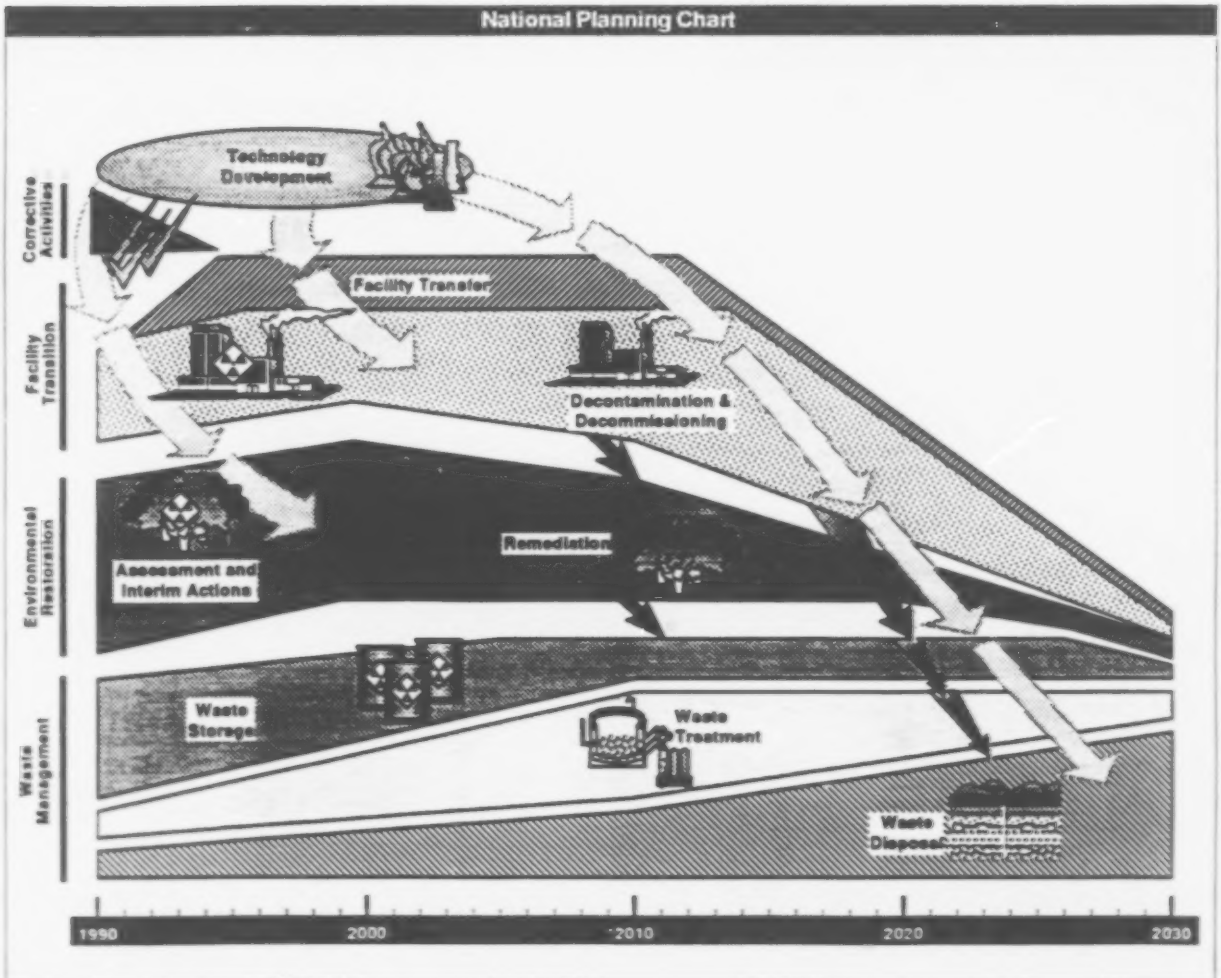


Figure 1.1b. This chart shows (1) flow of new technologies to environmental restoration and waste management activities, (2) completion of corrective activities, (3) facility transition, (4) decontamination and decommissioning, (5) phasing of environmental restoration activities from assessment to remediation and postclosure monitoring, and (6) phasing of waste management activities from storage to treatment to disposal.

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APPENDIX B

Long-range Plan

The strategic plan in Appendix A is supported by long- and short-range plans.

Within the Five Year Plan, each DOE site shows what goals it must reach to support the strategic plan.

From these goals, each site develops short-range plans and action plans to ensure the schedule and objectives are met.

Lawrence Livermore National Laboratory Main Site

- Submitted Draft Final ROD to regulators, June 1992.
- Submitted Draft Final Remedial Action Implementation Plan to regulators, Nov. 1992.
- Submit Draft Final Remedial Design (RD) Reports to regulators:

  RD#1, Feb. 1993
  RD#2, Aug. 1993
  RD#3, Feb. 1994
  RD#4, July 1994
  RD#5, June 1994

Lawrence Livermore National Laboratory Site 300 FFA

- Begin Central General Services Area Removal Activities, Oct. 1992.
- Submit Final Sitewide Remedial Investigation to regulators, Jan. 1993.
- Submit Draft Final ROD for:

  OU1, FY 1995
  OU2, FY 1995
  OU3, FY 1995
  OU4, FY 1995
  OU5, FY 1996
  OU6, FY 1996

Lawrence Berkeley Laboratory

- Submit RFI Report to regulators, Feb. 1997.

Stanford Linear Accelerator Center

- Complete groundwater Remedial Investigation, June 1994.
- Complete soil Remedial Investigation, March 1995.

Santa Susana Field Laboratory

- Complete decontamination and decommissioning of Building 059 for unrestricted use, March 1993.
- Complete decontamination and decommissioning of Radioactive Waste Material Disposal Facility, Sept. 1996.
- Completed decontamination and decommissioning of Building 064, Nov. 1992.
- Complete decontamination and decommissioning of Building 005, Jan. 1993.
- Complete decontamination and decommissioning of Building 023, Sept. 1993.
- Complete decontamination and decommissioning and demolish Building 020, Aug. 1995.
- Complete clean closure of Sodium Disposal Facility for unrestricted use, FY 1993.

Laboratory for Energy-Related Health Research

- Complete decontamination and decommissioning and release of animal hospitals, Mar. 1993.
- Complete decontamination and decommissioning of Imhoff facility and dog pens, Sept. 1995.
- Complete decontamination and decommissioning and release of Tank Trailer and Cobalt-60 Facility, Mar. 1994.

General Atomics Facility

- Complete decontamination and decommissioning, FY 1996.

General Electric Vallecitos Nuclear Center

- Complete decontamination and decommissioning, FY 1998.

Issues and Strategies

Idaho National Engineering Laboratory

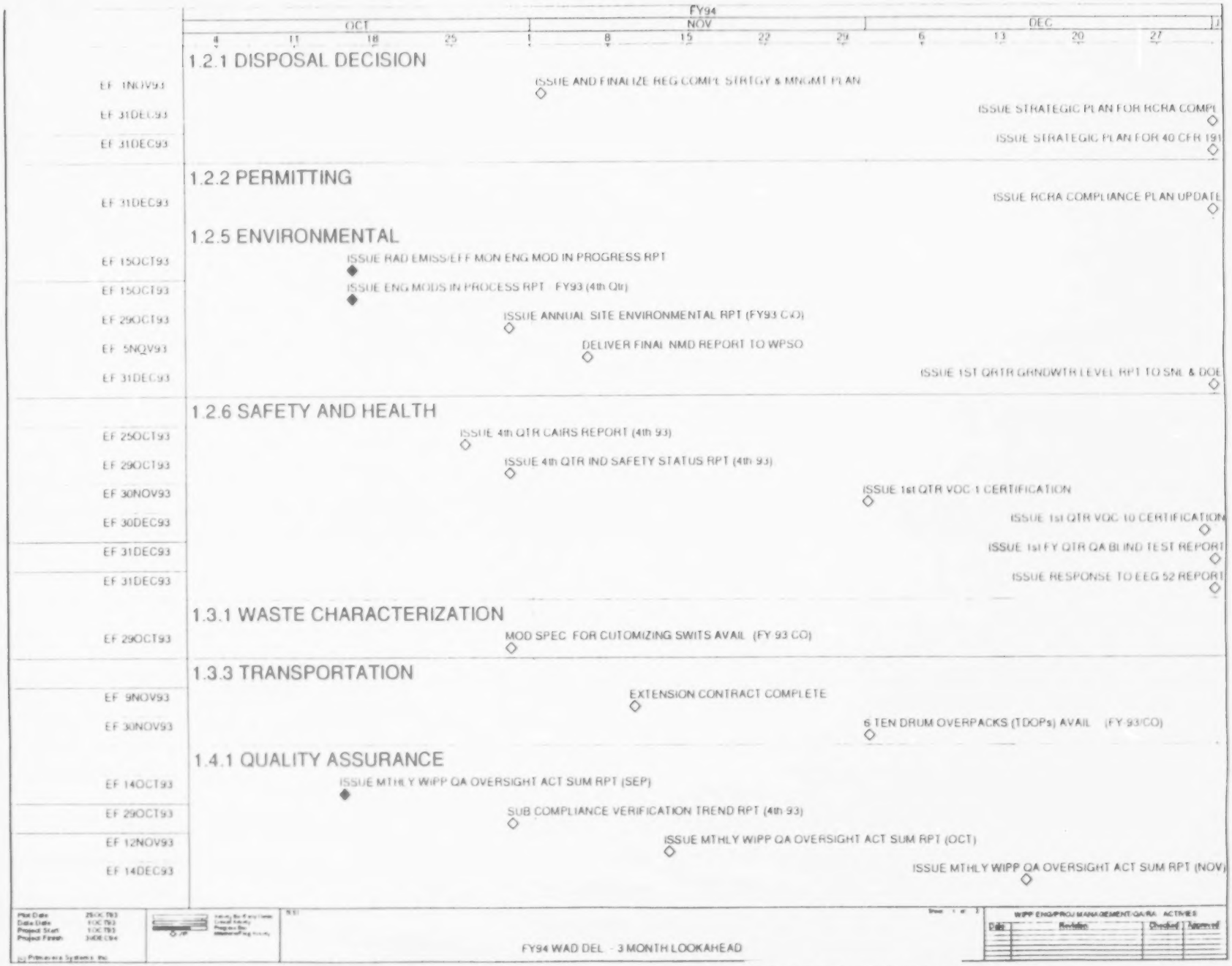
Public concern exists over the remediation of soil and potential groundwater contamination by long-lived radionuclides buried as part of past operations at INEL. DOE is interacting on a peer review basis with an independent panel, composed of highly qualified individuals from academia, Government, and industry, convened by the National Research Council's Board on Radioactive Waste to advise and comment on DOE's technical and management activities associated with this

APPENDIX C

Short-range Plan

This "3 Month Lookahead" document is an example of a WIPP-specific, short-range plan. It highlights the scheduling part of planning and incorporates 14 subplans.

This plan marks the milestones of each subplan, which shows how each plan and its schedule support the others.


FY94
OCT
NOV
DEC
4 11 18 25 1 8 15 22 29 6 13 20 27
1.2.1 DISPOSAL DECISION
EF 1NOV93
ISSUE AND FINALIZE REG COMPL STRTGY & MNGMT PLAN
EF 31DEC93
ISSUE STRATEGIC PLAN FOR RCRA COMPL
EF 31DEC93
ISSUE STRATEGIC PLAN FOR 40 CFR 191
1.2.2 PERMITTING
EF 31DEC93
ISSUE RCRA COMPLIANCE PLAN UPDATE
1.2.5 ENVIRONMENTAL
EF 15OCT93
ISSUE RAD EMISS/EFF MON ENG MOD IN PROGRESS RPT
EF 15OCT93
ISSUE ENG MODS IN PROCESS RPT - FY93 (4th Qtr)
EF 29OCT93
ISSUE ANNUAL SITE ENVIRONMENTAL RPT (FY93 C/O)
EF 5NOV93
DELIVER FINAL NMD REPORT TO WPSO
EF 31DEC93
ISSUE 1ST QRTR GRNDWTR LEVEL RPT TO SNL & DOE
1.2.6 SAFETY AND HEALTH
EF 25OCT93
ISSUE 4th QTR CAIRS REPORT (4th 93)
EF 29OCT93
ISSUE 4th QTR IND SAFETY STATUS RPT (4th 93)
EF 30NOV93
ISSUE 1st QTR VOC-1 CERTIFICATION
EF 30DEC93
ISSUE 1st QTR VOC-10 CERTIFICATION
EF 31DEC93
ISSUE 1st FY QTR QA BLIND TEST REPORT
EF 31DEC93
ISSUE RESPONSE TO EEG 52 REPORT
1.3.1 WASTE CHARACTERIZATION
EF 29OCT93
MOD SPEC FOR CUTOMIZING SWITS AVAIL (FY 93 CO)
1.3.3 TRANSPORTATION
EF 9NOV93
EXTENSION CONTRACT COMPLETE
EF 30NOV93
6 TEN DRUM OVERPACKS (TDOPs) AVAIL (FY 93/CO)
1.4.1 QUALITY ASSURANCE
EF 14OCT93
ISSUE MTHLY WIPP QA OVERSIGHT ACT SUM RPT (SEP)
EF 29OCT93
SUB COMPLIANCE VERIFICATION TREND RPT (4th 93)
EF 12NOV93
ISSUE MTHLY WIPP QA OVERSIGHT ACT SUM RPT (OCT)
EF 14DEC93
ISSUE MTHLY WIPP QA OVERSIGHT ACT SUM RPT (NOV)
FY94 WAD DEL - 3 MONTH LOOKAHEAD
WIPP ENG/PROJ MANAGEMENT/QA/RA ACTIVITIES
Date
Revision
Checked
Approved

Appendix C

BEST COPY AVAILABLE

BEST COPY AVAILABLE

Appendix C

APPENDIX D

Action Plan

The Quality Improvement Plan (QIP), a short-range plan (less than one year), is a major effort to put together. This effort involves gathering goals set by each department and compiling them into a master plan that can be used project-wide.

The plan that follows is a good example of an action plan -- a plan that outlines how to do just that -- put together the QIP. This action plan changes when needed but starts out identifying the goal, the steps to achieve that goal, and the" who-does-what" and "when-it-must-be-done" information.

Oftentimes, a short-range plan and an action plan are similar.

This action plan serves as a good reference to anyone or any team that must produce a QIP or similar plan.

Appendix D

1994 Quality Improvement Plan

GOAL:	Produce the 1994 WID Quality Improvement Plan by 11/30/93. (Lead: S. Reese)
9/22	Write and distribute memo requesting goals from each department (S. Reese)
10/8-11	Follow up on collection of goals (Y. Acosta)
10/11-15	Review goals; fine-tune and format (Y. Acosta)
10/18	Present goals to G.M.'s office for review and approval (S. Reese)
10/18	Draft Cox and Hunt letters for introduction (Y. Acosta)
10/22	Issue draft QIP; send out for review (J. Lloyd)
11/9	Send to HR for final review (J. Lloyd)
11/12	Resolve and incorporate comments (S. Reese)
11/15	Send masters to printer (J. Lloyd)
11/30	Distribute to employees (J. Lloyd)

APPENDIX E

Daily Plan

This example shows the variety of information that can be included in a daily plan -- appointments, phone calls, meetings, drafts and accomplishments. The V#5 indicates "vacation day #5."

This employee places an empty circle next to the task to be done and puts a check mark inside it after completion. At the end of the day, items without the check mark are brought forward to the next business day or re-evaluated.

MONTH September 1993

DAY 27 MON

8:00 AM Staff mtg:
- Advise 10/2 VM#5
- Update on SUPRO
- Feedback on PRO-102

9:00 Ask SR for action plans for QIP

10:00 Meet w/Jan - Trailer 912 re: QA process

11:00 Lunch w/Ron

Incorp. Bill's comments in

12:00 PM PRO-103

1:00 Draft cover letter for QIP
↓
Bump to 9/28

2:00 2:30 Meet w/Jean to photo

3:00 Completed test for PRO-103 - Turned in to WAM

4:00

5:00 Calls:
- Pat at SRC
- CHS Principal
- Nancy - PIP - No Answer

6:00

7:00

8:00

CAO and WID Technology Transfer Program

Who are we?

The Carlsbad Area Office (CAO) of the U.S. Department of Energy (DOE) and the Waste Isolation Division (WID) of the Westinghouse Electric Corporation manage and operate the Waste Isolation Pilot Plant (WIPP), located near Carlsbad, New Mexico. The WIPP will be the nation's first underground repository for the disposal of transuranic (TRU) waste.

What is the purpose of the CAO and WID Technology Transfer Program?

The CAO and WID technology transfer program is designed to transfer WID-developed, CAO-funded technology to the private sector for commercialization, research, and/or internal use.

Why do we want to do that?

Our program helps to ensure that U.S. taxpayers receive maximum return on tax dollars spent on research and development (R&D). By reducing private sector R&D costs, we can do our part to ensure America's economic competitiveness in a global economy. Because of this, we (the CAO and WID employees) are proud to be involved in this program.

What's the catch?

There is no catch. Most WID-developed, CAO-funded technologies are available for transfer to the private sector for commercialization, research, and/or internal use **at no cost.** Your key requirement is to receive authorization to use the document. Complete Section III of the enclosed technology transfer instrument and return it to us. Barring any unforeseen circumstances, you should receive non-exclusive rights to use the document in three to four weeks. Then, you can reproduce it for internal distribution, turn it into a commercial product, modify it -- do what ever you want to do with it within the terms outlined in Section II of the technology transfer instrument.

If you have questions concerning the program, contact:

Bill Keeley
Technology Transfer and Economic Development
Waste Isolation Division
Westinghouse Electric Corporation
PO Box 2078
Carlsbad, NM 88221

FAX: (505) 887-1434
Telephone: (505) 234-7594

U.S. Department Energy
Carlsbad Area Office (CAO)
Carlsbad, New Mexico

Technology Transfer Instrument

NOTE:

This form is to be used only for informal technology transfer of information technology: 1) the U.S. Department of Energy Carlsbad Area Office (DOE/CAO) and the Waste Isolation Division (WID) of the Westinghouse Electric Corporation waive the right to seek licensing fees, royalties and/or any other form of financial compensation; 2) the recipient is granted non-exclusive rights; and 3) the transfer involves information ("soft") technology, such as training modules, assessment tools, and other documents.

For formal technology transfers (those involving fees, royalties, any other form of financial compensation, exclusive rights, and/or hard technology) and/or hardware, consult the WID Technology Transfer and Economic Development Section at (505) 234-7594.

INSTRUCTIONS:

Please perform the following:

1. Read Sections I and II

2. Fill out Section III completely (The remaining sections are for internal use only)

3. Make a copy of the form for your files

4. Mail or fax Section III (pp. 4-5) to the WID technology transfer coordinator:

   Bill Keeley, MS-500
   Technology Transfer and Economic Development
   Waste Isolation Division
   Westinghouse Electric Corporation
   P. O. Box 2078
   Carlsbad, New Mexico, 88221
   FAX: (505) 887-1434

I. Purpose

The purpose of this instrument is to provide a mechanism for the efficient, informal transfer of Waste Isolation Pilot Plant (WIPP)-developed information technology (manuals, procedures, training modules) to organizations outside of the Department of Energy (DOE) complex. WIPP is managed by the Waste Isolation Division (WID) of the Westinghouse Electric Corporation under contract to the DOE Carlsbad Area Office (CAO).

The DOE Technology Transfer Program is designed to ensure that taxpayers receive maximum benefit from DOE-funded research and development, and to promote U.S. educational development, economic development, and global competitiveness.

Should you fill out this instrument? The answer is NO if you are only going to use the document you have received as a personal reference only. The answer is YES if you plan to use it in any other way:

- Modify it for internal organizational use
- Reproduce it for internal organizational distribution
- Use it as a teaching aid
- Reproduce it as a student/trainee handout
- Incorporate portions of the contents into existing programs
- Modify it into a commercial product

These guidelines apply to educational institutions, governmental agencies, and non-profit organizations, as well as businesses.

This instrument is designed to help meet the Secretary of Energy's commitment to streamline the technology transfer process.

II. Conditions

The conditions for information technology transfer from WIPP to an outside organization are listed below:

- The recipient is granted non-exclusive rights to use the technology listed in this document. The US Government reserves the right to share technologies with other organizations. This ensures fairness of opportunity.
- The US Government retains the right to use the original technology worldwide.
- The recipient agrees to indemnify the US Government and its contractor for all damages, costs, and expenses, including attorney fees, arising from the utilization of such technologies, including, but not limited to the making, using, selling or exporting of products, processes, or services derived from the technology transfer.
- Neither the US Government nor the contractor will seek licensing fees, royalties, and/or any other form of financial compensation from the recipient.
- If printed materials are generated from the transferred technology, the recipient will acknowledge that 1) the products were produced from technology originally developed by Westinghouse under contract to the DOE/CAO; 2) the technology was shared through the DOE/CAO technology transfer program; and 3) the recipient indemnifies the U.S. Government and the contractor, pursuant to the terms set forth above.
- If the technology is to be commercialized, the recipient will remove from printed materials all references to the WID, Westinghouse, the DOE/CAO, and their employees unless otherwise stipulated.
- As requested, the recipient agrees to provide DOE/CAO and WID a courtesy review/inspection of modified technologies before they are used/sold.
- The recipient agrees to allow the DOE/CAO and WID to publicize the technology transfer.
- As requested, the recipient agrees to report to the DOE/CAO and/or the contractor on usage status.

Questions? Please contact Bill Keeley at (505) 234-7594.

III. Request for Information Technology Transfer

A. Requesting Organization Information:

1. _____
Name of Individual Making Request

2. _____
Title of Individual Making Request

3. _____
Name of Organization

4. _____
Street

5. _____
City State Zipcode

6. (_____) _____
Telephone Number of Individual Making Request

7. (_____) _____
Fax Number of Individual Making Request

8. Primary products or services of requesting organization:

_____

_____

9. Is your organization. . .

a.	U.S.-owned?	Y	N	N/A
b.	Woman-owned?	Y	N	N/A
c.	Minority-owned?	Y	N	N/A
d.	A small business?	Y	N	N/A
e.	Headquartered in the U.S.?	Y	N	N/A

Continue on to next page.

B. Requested Information Technology:

List by title and/or document number the document(s) that you want transferred to your organization. Please be specific.

1. _____

2. _____

3. _____

C. Use of Information

Briefly describe how your organization will use the documents:

_____

_____

_____

D. Request

I am a representative of the organization listed in this section. I have read the conditions described in section II. My organization agrees to meet those conditions if the information technology described above is transferred to us. I recognize that submitting this request does not guarantee that a technology transfer will be approved.

1._____
Signature of Organizational Representative Date

2._____
Title of Organizational Representative

STOP HERE!

Make a copy of this form for your files. Mail or fax Section III (pp. 4-5) to:

Bill Keeley, MS-500
Technology Transfer and Economic Development
Waste Isolation Division
Westinghouse Electric Corporation
P. O. Box 2078
Carlsbad, New Mexico, 88221

FAX: (505) 887-1434

WID USE ONLY

IV. WID Review

A. Date request received: _____/_____/_____

B. Assigned Tracking Number: _____

C. Manager, Technology Transfer & Economic Development Review

1. Recommend Transfer: Y N

If no, explain: _____

2. _____
J. R. Walls Signature Date

DOE/CAO USE ONLY

V. DOE/CAO Approval

A. Approve Transfer: Y N

If no, explain: _____

B. _____
Alison Miner Signature Date
Acting Assistant Manager,
Program Support and Assurance

VI. Feedback to Requesting Organization

☐ Your request has been approved. This document now constitutes the transfer agreement between your organization and WID/DOE.

☐ Your request has not been approved; see the explanation above.